

Please type a plus (+) inside this box →

09/17/00

A  
PTO/SB/29 (12/97)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form  
*Submit an original, and a duplicate for fee processing*
2.  Specification [Total Pages 36]  
*(preferred arrangement set forth below)*  
 -Descriptive title of the Invention  
 -Cross Reference to Related Applications  
 -Statement Regarding Fed sponsored R&D  
 -Reference to Microfiche Appendix  
 -Background of the Invention  
 -Brief Summary of the Invention  
 -Brief Description of the Drawings (*if filed*)  
 -Detailed Description of the Invention (including drawings, *if filed*)  
 -Claim(s)  
 -Abstract of the Disclosure
3.  Drawing(s) (35 USC 113) [Total Sheets ]
4.  Oath or Declaration [Total Sheets 6]  
 a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 17 completed)*  
**[Note Box 5 below]**  
 i.  DELETION OF INVENTOR(S)  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).
5.  Incorporation By Reference (*useable if Box 4b is checked*)  
 The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

Continuation    Divisional    Continuation-in-part (CIP) of prior application Serial No. 09/489,218, filed January 21, 2000, which is a Continuation of prior application Serial No. 09/061,365 filed April 16, 1998, which is a divisional of prior application Serial No. 08/315,892 filed September 30, 1994.

18. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	20583 <i>(Insert Customer No. or Attach bar code label here)</i>	or <input type="checkbox"/> Correspondence address below
NAME		
ADDRESS		
CITY	STATE	ZIP CODE
COUNTRY	TELEPHONE	FAX

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

#2/Ple-a  
JL  
11/04/00

PENNIE & EDMONDS LLP DOCKET NO. 8449-115-999

Express Mail No.: EL 501 633 878 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Prior application: Examiner To be assigned  
Art Unit 1648

Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, DC 20231

Sir:

This is a request for filing a  continuation  divisional application under 37 CFR § 1.53(b), of pending prior application no. 09/489,218 filed on January 21, 2000



of Pramod K. Srivastava  
(inventor(s) currently of record in prior application)  
for Immunotherapeutic Stress Protein-Peptide Complexes Against Cancer  
(title of invention)

1.  The filing fee is calculated below, taking into account the Preliminary Amendment submitted herewith:

**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	51	-20	31	\$22.00 each	682.00
Independent	5	-3	2	\$82.00 each	164.00
				Basic Fee	690.00
				Multiple Dependency Fee If Applicable (\$270.00)	270.00
				<b>Total</b>	1,806.00
				50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern	-
				<b>Total Filing Fee</b>	903.00
					\$ 903.00

2.  Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.
3.  Amend the specification by inserting on page 1, under the title, the following sentence: - This is a continuation of application no. 09/489,218 filed January 21, 2000, which is a continuation of application no. 09/061,365 filed April 16, 1998, now U.S. Patent No. 6,017,544, which is a division of application no. 08/315,892 filed September 30, 1994, now U.S. Patent No. 5,750,119, each of which is incorporated by reference herein in its entirety.

- 4a.  Transfer the drawings from the prior application to this application and abandon the prior application as of the filing date accorded this application. A duplicate copy of this sheet is enclosed for filing in the prior application file.
- 4b.  New formal drawings are enclosed.
- 4c.  Informal drawings are enclosed.
- 5a.  Priority of application no.  $\phi\phi$  filed on  $\phi\phi$  in  $\phi\phi$  is claimed under 35 U.S.C. §119.
- 5b.  The certified copy has been filed in prior application no.  $\phi\phi$ , filed  $\phi\phi$ .
6.  The prior application is assigned of record to Mount Sinai School of Medicine of New York University.
- 7a.  The Power of Attorney appears in the original papers in the prior application no. 08/315,892, filed September 30, 1994; a copy of the Power of Attorney is submitted herewith. A copy of the Supplemental Declaration and Power of Attorney filed in prior Application Serial No. 08/315,892 is also submitted herewith.
- 7b.  Since the Power of Attorney does not appear in the original papers, a copy of the Power in prior application no.  $\phi\phi$ , filed  $\phi\phi$  is enclosed.
8.  This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no.  $\phi\phi$ , filed on  $\phi\phi$  be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no.  $\phi\phi$  is enclosed.
9.  The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no.  $\phi\phi$  is the same as the content of the computer readable form submitted in application no.  $\phi\phi$ .

10.  Other Enclosures: Preliminary Amendment; copy of Revocation and Power of Attorney for Application Serial No. 08/315,892; and copy of two Verified Statements Claiming Small Entity Status for Application Serial No. 08/315,892,

Respectfully submitted,

Date: September 8, 2000

*Adriane M. Antler* 32,605  
Adriane M. Antler (Reg No.)

**PENNIE & EDMONDS LLP**  
1155 Avenue of the Americas  
New York, NY 10036  
Tel. No. (212) 790-9090